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AUDITOR-CONTROLLER

COUNTY OF LOS ANGELES DEPARTMENT OF AUDITOR-CONTROLLER

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December 20, 2004

TO: Supervisor Gloria Molina, Chair
Supervisor Yvonne B. Burke
Supervisor Zev Yaroslavsky
Supervisor Don Knabe
Supervisor Michael D. Antonovich

FROM: J. Tyler McCauley *Maria Oms*
Auditor-Controller *for*

SUBJECT: **ANTELOPE VALLEY COMMITTEE ON AGING CONTRACT REVIEW**

We have completed a review of Antelope Valley Committee On Aging (Antelope Valley), an Integrated Care Management Program service provider. The review was conducted as part of the Auditor-Controller's Centralized Contract Monitoring Pilot Project.

Background

The Department of Community and Senior Services (DCSS) contracts with Antelope Valley, a private, non-profit, community-based organization, which provides services to seniors ages 60 and older, their spouses, and disabled residents, located in Service Planning Area One. The types of services provided by Antelope Valley include interviewing program participants to assess their cognitive, social, emotional, and medical needs and to develop care plans that identify and address those needs. Antelope Valley office is located in the Fifth District.

DCSS pays Antelope Valley a negotiated hourly rate of \$22 per hour for Intake Screening and \$40 per hour for all other types of services (i.e. In-Home Assessment, Care Plan, etc). The negotiated hourly rates are based on the program costs and service hours that Antelope Valley estimated in their proposal. For Fiscal Year 2003-04, DCSS paid Antelope Valley approximately \$180,000.

Purpose/Methodology

The purpose of the review was to determine whether Antelope Valley was providing the services outlined in their Program Statement and County contract. We also evaluated Antelope Valley ability to achieve planned levels of service and staffing. Our monitoring visit included a review of Antelope Valley Annual Service Level Assessment report, billing statements, participant case files, personnel and payroll records, and interviews with Antelope Valley staff and program participants.

"To Enrich Lives Through Effective and Caring Service"

Results of Review

Antelope Valley sufficiently documented the 52 hours of Interagency Coordination and the 182 service hours sampled. In addition, the participants interviewed stated that they received services from the Agency. However, the Agency issued Purchase of Service payments to two participants in excess of the contract limit of \$200 per month. One participant received \$275 and the second participant received \$420. In both instances, Antelope Valley maintained documentation to support the expenditures.

In addition, the Agency's Care Managers each maintained an average caseload of approximately 80 cases which exceeded the maximum of 40 cases allowed by the County contract. The Agency used five part-time volunteers to assist the Care Managers to provide case monitoring and re-assessment services. However, three (60%) of the five volunteers did not possess the required qualifications, as outlined in the County contract.

The details of our contract compliance review, along with the recommendations for corrective action, are included in the attached report.

Review of Report

On December 1, 2004, we discussed our report with Antelope Valley and in their attached response, Antelope Valley agrees with our findings. In addition, we notified DCSS of the results of our review. DCSS will work with Antelope Valley to ensure that areas of non-compliance disclosed in this report are resolved. DCSS will report to the Board of Supervisor within 60 days of this report on the implementation of our recommendations.

We thank Antelope Valley for their cooperation and assistance during this review. Please call me if you have any questions, or your staff may contact Don Chadwick at (626) 293-1102.

JTM:MMO:DC

- c: David E. Janssen, Chief Administrative Officer
Department of Community and Senior Services
Cynthia Banks, Chief Deputy Director
Laura Medina, Acting, Program Manager
Harriet Davis, Director, Antelope Valley Committee on Aging
Violet Varona-Lukens, Executive Officer
Public Information Office
Audit Committee

**CENTRALIZED CONTRACT MONITORING PILOT PROJECT
INTEGRATED CARE MANAGEMENT PROGRAM
FISCAL YEAR 2004-2005
ANTELOPE VALLEY COMMITTEE ON AGING**

BILLED SERVICES/CLIENT VERIFICATION

Objective

Determine whether Antelope Valley Committee on Aging (Antelope Valley or Agency) provided the services billed in accordance with their Integrated Care Management (ICM) contract and to determine whether the program participants actually received these services.

Verification

We selected 182 (20%) service hours from a total of 901 service hours that Antelope Valley billed the Department of Community and Senior Services (DCSS) in May and June 2004. We also reviewed 100% of the \$4,941 Purchase of Services funds and 100% of the 52 Interagency Coordination hours that Antelope Valley billed during May and June 2004.

We also reviewed 20 case files for documentation to support the participant's eligibility and we contacted twenty participants to verify the provision of services.

Results

Antelope Valley sufficiently documented the 52 hours of Interagency Coordination and the 182 service hours sampled. In addition, the participants interviewed stated that they received services from the Agency. However, the Agency issued Purchase of Service payments to two participants in excess of the contract limit of \$200 per month. One participant received \$275 and the second participant received \$420. Antelope Valley claimed that they were not aware that the maximum amount allowed by the County contract is \$200 a month. In both instances, Antelope Valley maintained documentation to support the expenditures.

Recommendation

- 1. Antelope Valley management do not issue Purchase of Services funds to participants in excess of the monthly contract limit.**

STAFFING/CASELOAD LEVELS**Objective**

Determine whether the Care Managers' caseloads do not exceed the County contract maximum of 40 cases.

Verification

We reviewed a listing of the Care Managers' caseloads. We also interviewed Antelope Valley's two Care Managers, Program Director and five part-time volunteers.

Results

Antelope Valley used two Care Managers to provide case management services to approximately 160 participants during the months of May and June 2004. Each Care Manager maintained an average caseload of approximately 80 participants which exceeded the maximum number allowed by the County contract of 40 participants. The Agency also used five part-time volunteers to assist the Care Managers to provide case monitoring and re-assessment services. However, as noted below three (60%) of the five volunteers did not have the required qualifications as outlined in the County contract. In addition, Antelope Valley did not gain the approval of DCSS to use volunteers to provide direct program services, as required by the County contract.

Recommendations**Antelope Valley management:**

- 2. Hire additional qualified Care Managers so that caseloads do not exceed the maximum contractual limit of 40 cases per Care Manager.**
- 3. Gain DCSS' approval on volunteers prior to using the volunteers to provide direct program services.**

STAFFING QUALIFICATIONS**Objective**

Determine whether Antelope Valley staff meets the following qualifications required by the County contract.

Verification

We interviewed Antelope Valley's staff who worked on the DCSS' contract. In addition, we reviewed each staff's personnel file for documentation to confirm their qualifications.

The contract requires that staff providing ICM services possess a bachelor's degree in human services, with two years of full-time paid or volunteer experience in care/case management or a related field.

Results

Antelope Valley's two Care Managers possessed the required qualifications. However, three (60%) of the Agency's five volunteers did not possess the necessary qualification required by the County contract. One volunteer did not possess a college degree and two volunteers possessed college degrees in unrelated disciplines.

Recommendation

- 4. Antelope Valley management ensure that staff performing case management duties meet the educational and work experience requirements as outlined in the County contract.**

SERVICE LEVELS

Objectives

Determine whether Antelope Valley reported service levels for Fiscal Year (FY) 2003-04 did not significantly varied from planned service levels.

Verification

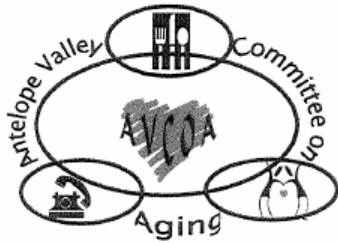
We reviewed DCSS' invoices from July 2003 through June 2004 for actual service levels billed and compared them to Antelope Valley proposed/budgeted service levels for the same period.

Results

Antelope Valley's actual service levels were 117% of planned service levels. For FY 2003-04, the Agency's planned service levels were 3,696 hours. The actual service levels reported by Antelope Valley were 4,329 hours.

Recommendation

There are no recommendations for this section.



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December 1, 2004

TO: J. Tyler McCauley
Auditor-Controller

FROM: Harriett Davis, Executive Director
Antelope Valley Committee on Aging

SUBJECT: ANTELOPE VALLEY COMMITTEE ON AGING CONTRACT REVIEW
INTEGRATED CARE RESPONSE

The Auditor-Controllers Contract Monitor was very thorough in the review of AVCOA's Integrated Care project. During the course of the review the monitor came to understand the scope of the amount of clients needing service and the need for better funding to supply the need in the Antelope Valley under the guidelines of the contract.

We appreciate the opportunity to better our program services.

RESPONSE TO FINDINGS AND RECOMMENDATIONS

1. **Billed Services/Client Verification:** Purchase of Service payments to two participants in excess of the contract limit of \$200 per month.

Response

AVCOA will limit the Purchase of Service payments to \$200.00 per participant unless authorization is received from DCSS.

2. **Staffing/Caseload Levels:** Care Managers carried case loads of 80 clients, exceeding the contract limit of 40 clients per Care Manager, also used five part-time volunteers to assist in providing case monitoring and re-assessment services. Three volunteers do not have the required qualifications as outlined in the County contract. Did not gain approval of DCSS to use volunteers.

Response

The monitor recommended that additional qualified Care Managers be hired so that caseloads do not exceed the maximum contractual limit of 40 cases per Care Manager. Due to the demand for Care Management services in the Antelope Valley and the funding limits we have for this program it is not feasible for us to hire additional personnel. We will ask for approval to use the volunteers and limit the Care Managers to 40, however we do supervise the volunteers and no mention was made that due to the higher case loads of the Care Managers that all records and documentation were not in accordance with the contract. When we limit to 40 clients per Care Manager what do we tell the 41st person needing help? Do we turn them away and tell them due to funding limits we are unable to serve them. Do we tell Adult Protective Services that we are at our limit and cannot serve their client that month? These are people needing help now, not when we can fit them in.

3. Staffing Qualifications

Response

Antelope Valley management will ensure that staff performing case management duties meet the educational and work experience requirements as outlined in the County contract.